Reminder

This is a quick guide to R&D records management; it does not cover all possibilities. The official records manual contains further information and takes precedence. If you have questions, please contact Carla Gregory (x42879).

DOCUMENT SUSPENSION:

DOCUMENTS WHICH ARE UNDER DISPOSAL SUSPENSION ARE DESCRIBED IN APPENDIX A OF THE RECORDS MANAGEMENT MANUAL AND IN SUBSEQUENT MEMORANDA FROM THE PHILIP MORRIS LEGAL DEPARTMENT. THESE DOCUMENTS MAY HAVE ANY DOCUMENT CODE OR DOCUMENT CLASSIFICATION. SOME MAY HAVE BEEN STAMPED BY THE LEGAL STAFF WITH A P, C, C1, C2, C3, OR BATES NUMBER. DOCUMENTS WHICH ARE UNDER DISPOSAL SUSPENSION MUST BE RETAINED BY R&D UNTIL SPECIFICALLY RELEASED. YOU MAY MARK AND HOLD THESE DOCUMENTS YOURSELF IF YOU ARE STILL USING THEM OR SEND THEM DIRECTLY TO THE APPROPRIATE CENTRAL FILE FOR PERMANENT STORAGE. THEY ARE R&D RECORDS AND ARE NOT TO LEAVE THE DEPARTMENT SHOULD YOU TRANSFER ELSEWHERE IN THE COMPANY.

IF YOU WROTE IT:

ASSIGN A DOC CODE. DOES YOUR DOCUMENT DEAL WITH ONGOING WORK AT R&D, OR WORK IN WHICH R&D IS PARTICIPATING WITH ANOTHER UNIT OR COMPANY, OR WORK WHICH R&D IS FUNDING? IF YES, PROBABLY PØ622 IS APPROPRIATE — BUT CHECK APPENDIX C OR THE INDEX FOR EXAMPLES.

ASSIGN THE DOCUMENT CLASSIFICATION. DOES YOUR DOCUMENT DEAL WITH ONE OF THE AREAS DESIGNATED "CRITICAL TO THE FUTURE OF R&D AND THE COMPANY" BY THE SENIOR VICE PRESIDENT OF R&D? IF YES, USE PHILIP MORRIS USA TRADE SECRET.

DOES YOUR DOCUMENT DEAL WITH INFORMATION THAT SHOULD NOT BE DISTRIBUTED WIDELY THROUGHOUT THE COMPANY OR R&D OR EXTERNALLY "BECAUSE IT WOULD COMPROMISE OUR TECHNOLOGY OR BUSINESS POSITIONS OR BE MISUNDERSTOOD AS TO INTENT OR CONTENT AND POTENTIALLY DAMAGE THE REPUTATION OF PHILIP MORRIS"? IF YES, USE PHILIP MORRIS USA PRIORITY.

DOES YOUR DOCUMENT DEAL WITH INFORMATION THAT WE WOULD NOT WANT TO DISTRIBUTE OUTSIDE OF PHILIP MORRIS NOR DO WE WANT IT READILY SHARED THROUGHOUT R&D OR THE COMPANY WITHOUT PERMISSION? IF YES, USE PHILIP MORRIS USA RESTRICTED.

DOES YOUR DOCUMENT DEAL WITH INFORMATION THAT WE WOULD NOT WANT TO DISTRIBUTE OUTSIDE OF PHILIP MORRIS? IF YES, USE PHILIP MORRIS USA CONFIDENTIAL.

DOES YOUR DOCUMENT DEAL WITH INFORMATION THAT CAN BE SHARED FREELY INSIDE AND OUTSIDE OF THE COMPANY? IF YES, USE PHILIP MORRIS USA BUSINESS. NOTE THAT NO PØ621 OR PØ622 DOCUMENT CAN BE CORRECTLY CLASSIFIED BUSINESS.

PRINT, SIGN, AND DISTRIBUTE YOUR DOCUMENT. IF IT IS CODED PØ622, INCLUDE "CC: PRIMARY CENTRAL FILE" OR "CC: TRADE SECRET CENTRAL FILE" AND FORWARD A COPY THAT SHOWS YOUR SIGNATURE (PHOTOCOPY IS SUFFICIENT). ATTACH A TRANSMITTAL FORM, WHICH YOU WILL FIND AS A TEMPLATE ON THE HOST COMPUTER SYSTEM. (IF THE DOCUMENT IS AN OFFICIAL INTERNAL REPORT, SPECIAL PROCEDURES ARE NECESSARY AND CENTRAL FILE STAFF WILL SEE TO THE COPYING AND DISTRIBUTION

Source: https://www.industrydocuments.ucsf.edu/docs/ktmk0001

FOR YOU. TELEPHONE THEM FOR INSTRUCTIONS.) NOTE THAT TRADE SECRET DOCUMENTS ARE TO BE HAND-DELIVERED TO THE TRADE SECRET CENTRAL FILE AS WELL AS TO ALL RECIPIENTS.

AS THE ORIGINATOR, YOU MUST RETAIN A COPY OF THE DOCUMENT IN YOUR OWN FILES. FILE IT APPROPRIATELY UNDER THE CORRECT CODE AND SUBJECT MATTER AND KEEP IT FOR THE PRESCRIBED TIME PERIOD. HOWEVER, IF THE DOCUMENT IS CODED PØ622 AND YOU HAVE COMPLIED WITH THE REQUIREMENT TO COPY THE APPROPRIATE CENTRAL FILE, YOU NEED NOT KEEP ANOTHER COPY IN YOUR OWN FILES. IF THE DOCUMENT IS UNDER DISPOSAL SUSPENSION (EITHER BY SUBJECT MATTER OR BECAUSE IT HAS BEEN STAMPED BY AN ATTORNEY), YOU MAY SEND IT TO THE APPROPRIATE CENTRAL FILE FOR PERMANENT RETENTION. ERASE THE ELECTRONIC COPY OF YOUR DOCUMENT AFTER PRINTING, UNLESS IT IS SOMETHING WHICH YOU EXPECT TO UPDATE PERIODICALLY OR UNLESS THE FILE CANNOT BE PRINTED AND IS SUBJECT TO DISPOSAL SUSPENSION.

THE ORIGINATOR OF A CIRCULATED DRAFT PØ622 DOCUMENT IS RESPONSIBLE FOR COLLECTING ALL ANNOTATED COPIES AND SUBMITTING THEM TO THE APPROPRIATE CENTRAL FILE AS A UNIT.

IF YOU RECEIVED IT:

DID IT COME FROM INSIDE PMUSA? IF YES, IT IS THE RESPONSIBILITY OF THE ORIGINATOR OF THE DOCUMENT TO FOLLOW THE PROCEDURES FOR COPYING THE APPROPRIATE CENTRAL FILE. RECIPIENTS MAY READ THE DOCUMENT AND SHRED IT, UNLESS IT HAS BEEN STAMPED BY AN ATTORNEY. RECIPIENTS MAY READ THE DOCUMENT AND FILE IT UNDER THE APPROPRIATE CODE AND SUBJECT MATTER. RECIPIENTS MAY READ THE DOCUMENT, ANNOTATE IT, AND RETURN IT TO THE ORIGINAL AUTHOR (AS WITH CIRCULATED DRAFTS) OR, IF IT IS NOT CLASSIFIED HIGHER THAN CONFIDENTIAL, CIRCULATE IT. ONCE A DOCUMENT HAS BEEN ANNOTATED, IT IS ANOTHER UNIQUE RECORD. IF IT IS CODED PØ622, IT MUST BE SENT TO THE APPROPRIATE CENTRAL FILE FOR PERMANENT STORAGE.

DID IT COME FROM OUTSIDE PMUSA — FOR INSTANCE, FROM ANOTHER COMPANY WITHIN THE CORPORATION OR FROM A UNIVERSITY OR SUPPLIER? IF YES, YOU MUST FOLLOW THE PROCEDURES FOR ASSIGNING A DOC CODE AND CLASSIFICATION. IF THE DOC CODE IS PØ622, YOU ARE REQUIRED TO COPY THE APPROPRIATE CENTRAL FILE ALONG WITH A TRANSMITTAL FORM.

EMAIL

EMAIL FOLLOWS ALL OF THE RULES NOTED ABOVE. IF YOU WRITE IT OR RESPOND TO IT AND IT DEALS WITH PØ622 BUSINESS/TECHNOLOGY OR WITH A TOPIC UNDER DISPOSAL SUSPENSION, YOU MUST PRINT A COPY, ERASE THE ELECTRONIC VERSION, AND FORWARD A COPY OF THE PRINTED MESSAGE TO THE APPROPRIATE CENTRAL FILE WITH A TRANSMITTAL FORM. OTHER MESSAGES SHOULD BE PRINTED, CODED APPROPRIATELY, AND FILED ACCORDING TO RETENTION PERIODS. IF YOU RECEIVE EMAIL FROM WITHIN R&D AND DON'T RESPOND TO IT, YOU MAY DELETE IT AND DEPEND ON THE ORIGINATOR TO COMPLY WITH THE RULES.

OTHER FORMATS

DOCUMENTS THAT YOU HAVE DRAFTED AND CIRCULATED FOR COMMENT MUST BE SAVED IN THE ORIGINAL DRAFT FORM AS WELL AS IN THE FINAL FORM IF THEY DEAL WITH TOPICS UNDER SUSPENSION. IF THE DRAFT IS RETURNED TO YOU WITH READER COMMENTS, SAVE ALL OF THE ANNOTATED COPIES. IT IS PREFERRED THAT YOU TRANSMIT THE ENTIRE SET TO THE APPROPRIATE CENTRAL FILE AS A WHOLE, DENOTING THE DRAFTS WITH A STAMP.

YOUR CONVENIENCE OR WORKING FILES NEED NOT BE TRANSMITTED TO A CENTRAL FILE WHILE YOU ARE STILL USING THEM. (**NOTE** THAT MEMORANDA AND REPORTS THAT YOU AUTHOR ARE NOT WORKING FILES AND ARE TO BE TRANSMITTED TO THE APPROPRIATE CENTRAL FILE UPON CREATION.) BE AWARE THAT YOUR WORKING FILES ARE MOST LIKELY UNDER DISPOSAL SUSPENSION. IF THIS IS THE CASE, PLEASE TRANSFER THE FILES TO THE APPROPRIATE CENTRAL FILE WHEN YOU HAVE FINISHED WITH THEM. YOU MAY SEND INTACT FOLDERS, IDENTIFYING WHOSE FILES THEY ARE AND WHAT PROJECT THEY DEAL WITH.

PRESENTATIONS (E.G., TRANSPARENCIES) FOLLOW ALL OF THE RULES NOTED FOR FORMAL R&D DOCUMENTS AND EMAIL. EACH TRANSPARENCY MUST BE CODED AND CLASSIFIED. A PAPER COPY OF THE PRESENTATION, ALONG WITH A TRANSMITTAL FORM THAT IDENTIFIES THE WHO/WHAT/WHERE/WHEN, MUST BE FORWARDED TO THE APPROPRIATE CENTRAL FILE FOR PERMANENT RETENTION IF THE SUBJECT MATTER IS CODED PØ622 OR THE SUBJECT MATTER IS UNDER DISPOSAL SUSPENSION.

Source: https://www.industrydocuments.ucsf.edu/docs/ktmk0001